

**NOTIFICATION TO BROKER AND CERTIFICATION BY BROKER
PURSUANT TO MINN. STAT § 118A.04**

I. Broker Information

1. Name of firm: _____

2. Address

Local: _____

National: _____

3. Telephone number: _____ - _____ - _____ Local _____ - _____ - _____ National

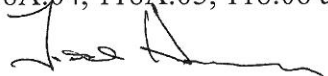
4. Primary representative/manager/partner in charge:

Name: _____ Title: _____

Phone: _____ - _____ - _____ ext: _____

II. Statement of Investment Restrictions:

To: _____ (name of broker), The City of Saint Paul (name of government entity)
is only authorized to invest in those investments complying with the requirements of Minnesota Statutes
118A.04, 118A.05, 118.06 and 118A.07.



(signed by official of local government)


12/16/2011
(date)

III. Statement of Additional Investment Restrictions: (fill in if applicable)

Further be advised that City of Saint Paul (name of government entity) restricts its
investments as provided:

☒ in the City of Saint Paul Investment Policy

☐ in the attached resolution[s] of the governing body.



(signed by official of local government)

12/16/2011
(date)

IV. Certification

We agree to conduct your investment transactions in accordance with the Minnesota
Statutes 118A.04, 118A.05, 118A.06 and 118A.07 and the provisions of any Additional
Restrictions set forth in Section III above.

(signed by authorized representative or broker)

_____/_____/_____
(date)

Effective January 1, 1997, prior to completing an initial transaction with a broker, and annually thereafter, this form must
be completed. See instructions.